



IAPD Report

ANTHONY YOU DING LEE

CRD# 1296851

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

ANTHONY YOU DING LEE (CRD# 1296851)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **03/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	11/12/2020
B	CETERA ADVISORS LLC	CRD# 10299	09/08/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	FIRST ALLIED SECURITIES, INC.	32444	Short Hills, NJ	12/09/2008 - 09/08/2022
IA	FIRST ALLIED ADVISORY SERVICES, INC.	137888	Short Hills, NJ	07/02/2012 - 11/12/2020
IA	FIRST ALLIED SECURITIES, INC.	32444	Short Hills, NJ	12/09/2008 - 07/02/2012

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Judgment/Lien	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **9** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA ADVISORS LLC**
Main Address: 5299 DTC BLVD #800
GREENWOOD VILLAGE, CO 80111
Firm ID#: 10299

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	09/08/2022
	FINRA	General Securities Representative	Approved	09/08/2022
	FINRA	Operations Professional	Approved	09/08/2022
	California	Agent	Approved	09/08/2022
	Connecticut	Agent	Approved	09/08/2022
	District of Columbia	Agent	Approved	09/08/2022
	Florida	Agent	Approved	09/08/2022
	Hawaii	Agent	Approved	09/08/2022
	Nevada	Agent	Approved	02/28/2025
	New Jersey	Agent	Approved	09/08/2022
	New York	Agent	Approved	09/08/2022
	Virginia	Agent	Approved	09/08/2022

Branch Office Locations



Qualifications

CETERA ADVISORS LLC
51 JFK Parkway
First Floor West
Short Hills, NJ 07078

CETERA ADVISORS LLC
CHATHAM, NJ

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096
Firm ID#: 105644

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	11/12/2020

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
51 JFK PARKWAY
FIRST FLOOR WEST
SHORT HILLS, NJ 07078

CETERA INVESTMENT ADVISERS LLC
CHATHAM, NJ



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/27/1999

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/16/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/31/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/21/1985



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	12/09/2008 - 09/08/2022	FIRST ALLIED SECURITIES, INC.	CRD# 32444	Short Hills, NJ
IA	07/02/2012 - 11/12/2020	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	Short Hills, NJ
IA	12/09/2008 - 07/02/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	Short Hills, NJ
IA	01/12/2001 - 12/09/2008	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	FLORHAM PARK, NJ
B	07/21/1998 - 12/09/2008	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	FLORHAM PARK, NJ
B	06/23/1995 - 07/15/1998	FIRST ALBANY CORPORATION	CRD# 298	NEW YORK, NY
B	06/06/1992 - 06/21/1995	JOSEPHTHAL LYON & ROSS INCORPORATED	CRD# 3227	NEW YORK, NY
B	01/13/1992 - 05/12/1992	PRIME CHARTER LTD.	CRD# 25668	NEW YORK, NY
B	04/16/1990 - 12/13/1990	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	01/29/1988 - 04/25/1990	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	06/08/1987 - 05/31/1988	L. F. ROTHSCHILD & CO. INCORPORATED	CRD# 501	
B	02/21/1985 - 07/18/1987	MACPEG, ROSS, O'CONNELL & GOLDABER, INC.	CRD# 8297	
B	02/05/1986 - 01/16/1987	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2022 - Present	CETERA ADVISORS LLC	REGISTERED REP	Y	Short Hills, NJ, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2020 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
12/2008 - 09/2022	FIRST ALLIED SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
07/2012 - 11/2020	FIRST ALLIED ADVISORY SERVICES, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	CHESTERFIELD, MO, United States



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

- 1.) ANTHONY LEE; AGENT; INSURANCE; START DATE: 12/1/2008.
- 2.) COMMERCE AND INDUSTRY ASSOCIATION OF NEW JERSEY. MEMBER. START DATE 1/31/2011.
- 3.) MONTGOMERY ACADEMY FOUNDATION; TRUSTEE; NON-PROFIT ORGANIZATION; START DATE 09/15/2011; 8 HOURS PER MONTH.
- 4.) SEND OUT CARDS; OTHER; OTHER; START DATE 12/01/2011; 4 HRS. PER MONTH.
- 5.) ADP; Referral Consultant; Consulting; start date 08/01/2016; 4 hours per month.
- 6.) CARDINAL HILL WEALTH ADVISORY GROUP; PRESIDENT; DBA)ONLY OFFERS FIRST ALLIED PRODUCTS/SERVICES; START DATE 12/23/2020; 160 HOURS PER MONTH.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Judgment/Lien	1

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$61,292.22
Judgment/Lien Type:	Tax
Date Filed with Court:	03/02/2023
Date Individual Learned:	03/31/2023
Type of Court:	County
Name of Court:	Office of the County Clerk Morris
Location of Court:	Morristown, NJ
Docket/Case #:	2023007091
Judgment/Lien Outstanding?	Yes
Broker Statement	The IRS improperly set up the installment agreement.



End of Report

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